

SERVICE LEVEL AGREEMENT

Between
United States Department Of Agriculture
and

Purpose: To establish a Service Level Agreement (SLA) between the United States Department of Agriculture (USDA) and _____ relative to providing Public Key Infrastructure (PKI) and Certification Authority (CA) services to _____ through USDA, Office of Chief Finance Officer (OCFO), National Finance Center (NFC).

Period of Performance: SLA is in effect until terminated by mutual agreement of both parties.

Level of Service:

1. USDA, NFC offers authentication of a user with a level of due-diligence and non-repudiation that is not achievable with a Personal Identification Number; the ability to enhance security through the use of certificates for digital signature and encryption in various methods including secured socket layer transmissions, Web-based applications, client/server applications, time stamping, client to firewall/application virtual private network, and e-mail; generation, issuance, and distribution of Medium and Basic assurance certificates; revocation of certificates upon receipt of a valid certificate revocation request; publication of certificates and Certificate Revocation Lists (CRL) in the USDA, NFC CA Repository; certificate re-key and update; certificate archival; and key escrow and recovery (for roaming certificates only).
2. Level of Certificates:
 - a. The Basic-level certificate provides a level of assurance relevant to environments where there are risks and consequences for data compromise, but they are not considered to be of major significance. This may include access to private information where the likelihood of malicious access is not high.
 - b. The Medium-level certificate is relevant to environments where risks and consequences of data compromise are moderate. This may include transactions having substantial monetary value or risk of fraud.
 - c. The High-level certificate is appropriate for use where the threats to data are high, or the consequences of the failure of security services are high. This may include very high value transactions or high levels of fraud risk. USDA, NFC does not support High-level certificates at this time.

3. Examples of applications/licenses include: Virtual Private Network to be used with Checkpoint Firewalls, Encrypted/Digital Signature E-Mail, Web Based Encrypted E-Mail, Application Encryption and/or Digital Signature (non Web), Desktop Encryption, Zero FootPrint (Roaming Certificates for Web Applications), Web SSL Certificate and Web SSL Client Certificate (Non-Registered Global Browsers Certificate).

Security:

1. The USDA, NFC PKI is housed in a USDA, NFC facility in New Orleans, Louisiana. The USDA National Information Technology Center in Kansas City, Kansas, maintains hardware and system software to provide continuity of operations capabilities as the official “backup site” for the USDA, NFC PKI. Multiple layers of stringent security measures are in place to secure data on USDA, NFC PKI. In addition, the connectivity to the USDA, NFC PKI is secured using various configurations and intrusion detection monitoring. USDA, NFC will also provide a contingency plan to ensure the preservation of data in the event of a disaster. USDA, NFC also maintains a 24-hour, 7-days-a-week guard service to protect physical access to the building. The computer room has controlled access with the PKI room having tighter access controls. All PKI key related actions require multi-person authentication.

If the USDA, NFC CA equipment is damaged or rendered inoperative, but the USDA, NFC CA signature keys are not destroyed, the USDA, NFC CA operation shall be re-established as quickly as possible, giving priority to the ability to generate certificate status information.

USDA, NFC PKI will follow the procedures stated in the USD/NFC PKI Certificate Policy available by review at www.nfc.usda.gov (pull-down window “Related Web Sites;” selection “Certification Authority Initiative”).

2. Separation of duties provides internal controls designed to make fraud, abuse, or espionage difficult without collusion. Individual CA personnel are specifically designated to the following four, somewhat abstract, roles:
 - a. CA Administrator - Authorized to install, configure, and maintain CA, establish and maintain CA system accounts, configure profiles and audit parameters, and generate component keys.
 - b. Registration Authority (RA) - Authorized to request/approve, create, recover and revoke user and device certificates. Also responsible for maintaining the user and device authentication documentation, and maintaining and archiving audit logs.
 - c. Auditor - Authorized to view audit logs and audit parameters.
 - d. Operator - Authorized to perform routine operation of the CA equipment, and system backup and recovery.

System Performance:

Service Standards:

1. Establish and Revoke Certificates

Urgent Requests: All urgent requests requiring immediate attention by NFC must be submitted to the USDA, NFC, Chief, Information Systems Policy and Control Staff. NFC will address justified urgent requests as expeditiously as possible.

Required Service: USDA, NFC establishes/recovers and revokes certificates on behalf of its customer timely upon receipt of original documentation.

Performance Standard:

?? Establish/Recover Certificate – issue documentation to user and Local Registration Authority (LRA) simultaneously within 5 business days of receipt of complete original documentation. Completion of the activation process is dependent on the LRA and user communicating. Timeframe for bulk issuance of certificates will need to be mutually agreed upon separately.

?? Revoke Certificate - revoked within 1 business day of receipt of complete original documentation. Timeframe for bulk revocation of certificates will need to be mutually agreed upon separately.

Acceptable Quality Level:

?? Establish certificates – 90 percent timely completion (within 5 business days)

?? Revoke certificates – 90 percent timely completion (within 1 business day).

Monitoring Method: Review of the User Management and Registration Report on a quarterly basis, as requested.

2. Help Desk Support – Customers are to direct all service related problems directly to the USDA, NFC Operational Control Center (OCC). Customers may contact the OCC at 504-255-5370 or 1-800-421-0323. OCC is staffed 24-hours, 7-days-a-week. The trouble call will be forwarded to the appropriate USDA, NFC PKI staff member within 1 hour of receipt.

Required Service: PKI Staff responds timely to questions with correct information and/or status of research.

Performance Standard: Responses are to be provided within:

- ?? One business day if it is not a technical problem requiring outside assistance. If the problem is unresolved after 5 business days it will be escalated to the supervisor. Customer will be notified of escalation.
- ?? Three business days if it requires technical assistance and weekly follow up. A technical problem is defined as any problem that adversely impacts certificate functionality, i.e. client desktop problems, telecommunication or internal problems, or PKI infrastructure. If the problem is unresolved after 5 business days it will be escalated to the supervisor. Customer will be notified of escalation.
- ?? “Response” is defined as USDA, NFC contacting the customer, informing them that USDA, NFC is actively working on the problem, and providing follow up if the problem is unresolved after specified periods of time. It is not “resolution.” Business days include Monday through Friday, excluding Federal holidays and administrative leave for closures due to inclement weather conditions and Mardi Gras, a New Orleans metro-area holiday.

Measurement: Remedy trouble ticket.

Ownership:

1. Certificates and CRL’s, issued by the USDA, NFC CA, and the Certification Policy Statement (CPS) are the property of the USDA, NFC CA.
2. The Distinguished Names used to represent End-Entities within the USDA, NFC CA domain in the directory and in certificates issued to End-Entities within that domain, all include a Relative Distinguished Name of “USDA, NFC” and as such are the property of USDA, NFC CA.
3. With respect to the CA system, the copyright, trademark, and patent rights of the CA and RA software are owned by Entrust Technologies and will remain the sole and exclusive property of Entrust Technologies.
4. USDA, NFC certificates are to be used for only Government agency related business.
5. USDA, NFC owns the purchased certificates and licenses.
6. The agency retains ownership of data.

Termination:

SLA may be terminated as follows:

1. By _____ with at least 1-year advance written notice to USDA. Both parties shall mutually agree upon the effective date of the termination, or
2. By the Deputy Chief Financial Officer, OCFO, with at least 1-year written notice to _____. Both parties shall mutually agree upon the effective date of the termination.

If either party terminates this SLA, USDA will assist _____ in the orderly termination of services, including timely transfer of the PKI/CA services support to another designated provider. Such services include: transferring historical transactions data, providing directory schema, data, etc. _____ agrees to pay the actual USDA costs of rendering such assistance.

In the event of termination of the USDA, NFC CA operation, certificates signed by the USDA, NFC CA are revoked and the USDA, NFC PKI Policy Authority (PA) advises Subscribing Organizations that USDA, NFC CA operations have terminated. Prior to USDA, NFC CA termination, the USDA, NFC CA provides archived data to the USDA, NFC PKI PA approved archival facility.

Subscribing organizations will be given as much advance notice as circumstances permit, and attempts to provide alternative sources of interoperation will be sought in the event the USDA, NFC CA is terminated.

Terms for Provision of Services:

USDA, NFC will:

- a. Provide software and hardware at USDA, NFC and the backup site necessary for effective/efficient PKI/CA system operations.
- b. Implement _____ in a pilot test followed by production implementation to USDA, NFC PKI/CA services using data provided by _____.
- c. Provide _____ access to information technology resources required to accomplish PKI/CA services.
- d. Provide formal training on the operation of the system such as local registration authority for establishing certificates on request. The trained key _____ employees will train the additional employees in the field. Any requested post-implementation training provided by USDA, NFC to upgrade skills of employees would be provided as a separate additional cost to _____ and confirmed through a separate reimbursement agreement for services.

- e. Provide a back-up capability for USDA, NFC systems and data for use in the event of a catastrophe rendering NFC computers inoperable for an unacceptable period of time.
- f. Provide copies of the PKI/CA Service CP available at www.nfc.usda.gov (pull-down window “Related Web Sites;” selection “Certification Authority Initiative”).
- g. Establish procedures for processing new requirements or modifications to PKI.
- h. Provide technical support for implementing new requirements or modifications to PKI.
- i. Provide _____ with notice, as soon as a standard upgrade is identified, of pending hardware/software changes that may affect users existing equipment, telecommunications, or certificate.
- j. Provide the necessary and specialized USDA, NFC forms and supplies required by USDA, NFC for related systems processing.
- k. Meet the time periods mutually agreed upon for the establishment of certificates, i.e. 20 certificates in 72 hours from receipt of original documentation. If a large quantity of certificates, such as 500, 1,000, etc., are being established or revoked, a negotiated turnaround time would have to be agreed upon between both parties.
- l. Provide technical support in accomplishing one-time or special information requests. Agency-specific requests will be assessed and billed as a separate reimbursable agreement.
- m. Provide support for secure electronic transmission of the designated _____ applications/systems using USDA, NFC-provided PKI services.
- n. Provide audit services through USDA/Office of Inspector General in relation to USDA, NFC. These services include but are not limited to audits of USDA, NFC general controls, security, accounting, data processing, and information technology as it pertains to PKI/CA.
- o. Perform ongoing monitoring, tracking, and reporting auditable events and logs in accordance with the standard set forth in the USDA, NFC CP available at www.nfc.usda.gov (pull-down window “Related Web Sites;” selection “Certification Authority Initiative”).
- p. Serve as the first line help desk support. OCC is staffed 24-hours, 7-days-a-week. OCC will take the trouble call and immediately place it on Remedy

tracking system. The trouble ticket will be forwarded to the appropriate USDA, NFC PKI for problem resolution.

- q. Ensure new procurements or upgrades of the PKI software is tested by _____ for compatibility with the common computer environment equipment deployed to _____ field offices.
- r. Provide _____ with at least a 2-week notice of scheduled system tests.
- s. Give _____ the right of usage as long as the yearly operational fee is paid in a timely fashion.

_____ will:

- a. Provide remote hardware and communications to use the PKI/CA service.
- b. Provide data necessary for the USDA, NFC to implement _____ clients/users into the USDA, NFC PKI/CA.
- c. Provide detailed specifications for any new _____ requirements for modifications or expansion of PKI/CA services.
- d. Designate a representative to participate in a USDA, NFC PKI/CA steering committee. The steering committee is composed of USDA, NFC PKI representatives and a representative from each agency that is an active participant of the USDA, NFC PKI. The steering committee meets on a quarterly basis. USDA, NFC PKI has the authority to call unscheduled meetings. The roles and responsibility of the steering committee is to guide and inform the USDA, NFC CA supported agencies in the use of PKI. Individual agency representatives will act as the PKI liaison for their agency.
- e. Provide any specialized _____ forms and supplies necessary for USDA, NFC to furnish services.
- f. Participate in scheduled system tests.
- g. Provide support necessary to implement and maintain _____ PKI/CA requirements according to the USDA, NFC CP and CPS.
- h. Provide USDA, NFC with updated information, such as a name change, death, etc., to keep the CA manager administrative database current and accurate.

- i. Establish internal procedures for coordinating _____ requests to USDA, NFC on new requirements or modifications to PKI.
- j. Respond to routine inquiries from _____ employees relating to PKI/CA services.
- k. Designate _____ contact for USDA, NFC help desk and technical support personnel. Ensure that _____ designated contact list is current.
- l. Designate agency representative who will provide startup and ongoing security requirements to USDA, NFC and serve as LRA for _____. Ensure that the designate agency representative LRA listing is current.

The LRA role shall be responsible for:

- ?? Registering new subscribers and requesting the issuance of certificates.
 - ?? Verifying the identity of subscribers and accuracy of information included in certificates.
 - ?? Requesting and approving the revocation of certificates.
 - ?? Submitting the original signed request, subscriber agreement and authentication documentation (pictured ID's) to the USDA, NFC PKI RA.
 - ?? Receiving their subscribers' authorization codes via secure manner from the USDA, NFC PKI RA and communicate that information to their subscriber in a secure manner other than e-mail (e.g. personally, telephone, etc.).
 - ?? Instructing their subscribers regarding the download, where applicable, and/or activation of subscriber certificates.
 - ?? Ensuring individual subscribers are aware of their responsibilities as certificate holders.
- m. Contact the USDA, NFC OCC and submit a trouble ticket when there is a PKI problem, which prevents the user to perform certificate functions.
 - n. Ensure that applicable Privacy Act notices show, as a routine use, the transmittal of data to USDA, NFC for processing and distribution for authorized purposes.
 - o. Be responsible for the security and proper use of the customer's certificate and agency application enabled to use the certificates.

Approved by:

Signature: _____ Date: _____

Patricia E. Healy
Deputy Chief Financial Officer
United States, Department of Agriculture

Signature: _____ Date: _____

Name
Title
Agency